



PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Rosen, et al.

Serial No.: 09/041,155

Group Art Unit: 2161

Filed: August 28, 2001

Examiner: TBA

For: SYSTEM AND METHOD FOR  
IMPROVED MULTIPLE REAL-TIME  
BALANCING AND STRAIGHT THROUGH  
PROCESSING OF SECURITY  
TRANSACTIONS

Attorney Docket: 717-001

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

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FEB 21 2002  
Technology Center 2600

PRELIMINARY AMENDMENT

SIR:

- 1 Prior to substantive examination of the subject application,
- 2 please amend as follows: